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PTO/SB/21 (04-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/757,830
Filing Date	January 13, 2004
First Named Inventor	Bing Yeh et al.
Art Unit	2818
Examiner Name	Not assigned yet
Attorney Docket Number	2102397-992313

Total Number of Pages in This Submission

6 + ref's

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ Remarks The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this sheet is enclosed. Customer No. 26379	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below): Four References Return Postcard
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Alan A. Limbach, Reg. No. 39,749 Gray Cary Ware & Freidenrich
Signature	
Date	October 13, 2004

CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name	Kathleen LaBrie		
Signature		Date	October 13, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT

Applicants:	Bing Yeh et al.
Application No.	10/757,830
Filed:	January 13, 2004
For:	Method Of Programming Electrons Onto A Floating gate Of A Non- Volatile Memory Cell
Group Art Unit:	2818
Examiner:	Not assigned yet
Attorney Docket No.:	2102397-992313

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

This Information Disclosure Statement:

- (a) ☐ accompanies a new patent application submitted herewith.
- (b) ☒ is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; **OR**
- (c) ☐ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below **OR**
- (d) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (e) ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (f) ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed

The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees to our Deposit Account No. 07-1896

Respectfully submitted,

Date: October 13, 2004

GRAY CARY WARE & FREIDENRICH LLP

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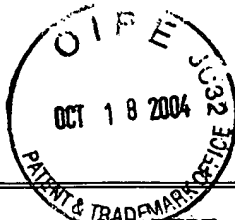
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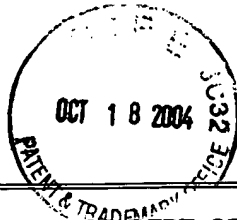


Form PTO-1449 (modified 2/91)	U.S. DEPT. OF COMMERCE Patent and Trademark Office	Attorney Docket Number: 2102397-992313	Serial Number: 10/757,830
		Applicants: Bing Yeh et al.	
		Filing date: January 13, 2004	Group art unit: 2818

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No. Publication No.	Date	Name	Class	Sub- class	Filing date if appropriate
	10/358,601	02/03	Kianian			
	10/358,623	02/03	Hu et al.			
	10/653,015	08/03	Chen et al.			
	4,757,360	07/88	Farone			
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	4,882,707	11/89	Mizutani			
	4,905,062	02/90	Esquivel et al			
	4,931,847	06/90	Corda			
	4,947,221	08/90	Stewart et al.			
	5,021,848	06/91	Chiu			
	5,029,130	07/91	Yeh			
	5,041,886	08/91	Lee			
	5,101,250	03/92	Arima et al.			
	5,268,319	12/93	Harari			
	5,338,953	08/94	Wake			
	5,429,965	06/95	Shimoji			
	5,544,103	08/96	Lambertson			
	5,572,054	11/96	Wang et al.			
	5,780,341	07/98	Ogura			
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	5,789,293	08/98	Cho et al.			
	5,796,139	08/98	Fukase			
	5,808,328	09/98	Nishizawa			
	5,811,853	09/98	Wang			
	5,814,853	09/98	Chen			
	5,943,572	08/99	Krautschneider			
	6,091,104	07/00	Chen			
	6,103,573	08/00	Harari et al.			
	6,140,182	10/00	Chen			
	6,180,458	01/01	Krautschneider, et al.			

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	



Form PTO-1449 (modified 2/91) INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)	U.S. DEPT. OF COMMERCE Patent and Trademark Office	Attorney Docket Number: 2102397-992313	Serial Number: 10/757,830
	Applicants: Bing Yeh et al.		
	Filing date: January 13, 2004	Group art unit: 2818	

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No. Publication No.	Date	Name	Class	Sub-class	Filing date if appropriate
	6,222,227 B1	04/01	Chen			
	6,262,917	07/01	Lee			
	6,525,371	02/03	J. Johnson			
	6,538,275	03/03	Sugiyama et al.			
	6,541,815	04/03	Mandelman et al.			
	6,756,633	06/04	Wang et al.			

FOREIGN PATENT DOCUMENTS

Document number	Date	Country	Class	Sub-class	Translation YES	NO
EP 0 389 721 A2	10/03/90	Europe				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	HAYASHI, Fumihiko and PLUMMER, James D., "A Self-Aligned Split-Gate Flash EEPROM Cell With 3-D Pillar Structure", 1999 Symposium on VLSI Technology Digest of Technical Papers, Center for Integrated System, Stanford University, Stanford, CA 94305, USA, pages 87-88
	SZE, Simon, "Physics of Semiconductor Devices", 2nd Edition, Wiley-Interscience, Basic Device Characteristics pages. 438-439
	BROWN, William D. et al.; "Nonvolatile Semiconductor Memory Technology, A Comprehensive Guide to Understanding And Using NVSM Devices", IEEE Press, pp. 33-34

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	